



SECTION 2. FORMS PTO/SB/08A and 08B (formerly Form PTO-1449)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Evelyn, et al Attorney Docket: 2955/103
 Serial No: 09/668,255 Art Group Unit: 3694
 Date Filed: 09/21/2000 Examiner Name: Greene, Daniel
 Invention: System and Method for Pricing and Allocation of Commodities or Securities

**LIST OF PATENTS AND PUBLICATIONS FOR
 APPLICANT'S INFORMATION DISCLOSURE STATEMENT**

OTHER DOCUMENTS			
Examiner Initials	Reference Number	Author	Title of Article, Title of Journal, Volume Number, Page Numbers, Date
	104	Hyatte, Michael	Letter to SEC dated 7/20/2000, 2000 WL 1013584 (S.E.C. Action Letter)
	105	Ausubel, L.M., et al	"Auctioning Securities", Working Paper, Dept. of Economics, University of Maryland, March 1998
	106	Biais, B., et al	"IPO Auctions: English, Dutch, . . . French, and Internet", <i>Journal of Financial Intermediation</i> 11, pp. 9-36 (2002)
	107	Chemmanur, T.J., et al	"How Should a Firm Go Public? A Dynamic Model of the Choice Between Fixed-Price Offerings and Auctions in IPOs and Privatizations". EFA 2003 Annual Conference Paper No. 366.

(Information Disclosure Statement--page 4 of 7)

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /DIG/



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	108	Sherman, A.	"Global Trends in IPO Methods: Book Building vs. Auctions", <i>Journal of Financial Economics</i> , Vol. 78, Issue 3, Dec. 2005, pp. 615-649
	109	Vickrey, W.	"Counterspeculation, Auctions, and Competitive Sealed Tenders", <i>The Journal of FINANCE</i> , The American Finance Association, Vol. XVI, 1961
	110	Vickrey, W.	"Auction and Bidding Games" Recent Advances in Game Theory, 1962 - Princeton University Press

Examiner Signature: /Daniel Greene/
Date Considered: 02/27/2008

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation *if not* in conformance and not considered. Include copy of this form with next communication to applicant.